

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**Applicants: Rolf Banholzer *et al.*

Examiner: Janet L. Coppins

Serial No.: 09/961,822

Group Art Unit: 1625

Filed: September 24, 2001

Docket: 1/1148

**For: CRYSTALLINE TIOTROPIUM BROMIDE MONOHYDRATE, PROCESSES FOR  
THE PREPARATION THEREOF, AND PHARMACEUTICAL COMPOSITIONS**

Mail Stop 313(c)  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PETITION TO CORRECT INVENTORSHIP UNDER 37 C.F.R. § 1.48**  
**OR, IN THE ALTERNATIVE, UNDER 37 C.F.R. § 1.181 OR 37 C.F.R. § 1.182**  
**TO CORRECT A MISTAKE IN THE INVENTORSHIP**

Dear Sir:

Applicants hereby petition under 37 C.F.R. § 1.48 to correct the inventorship of the above-identified application, or in the alternative, under 37 C.F.R. § 1.181 or 37 C.F.R. § 1.182 to correct an Office mistake in the inventorship. A Request for Continued Examination (RCE) in compliance with 37 C.F.R. § 1.114 and the executed Declaration has been filed herewith.

It was recently discovered that the Office has improperly dropped one of the named inventors (Andreas Mathes) from the above application and this is the error which is sought to be corrected, whether under the provisions of 37 C.F.R. §§ 1.48, 1.181, or 1.182 (given the factual circumstances set forth below, it is unclear what provision would apply). The eight inventors are correctly listed on the Application Data Sheet filed with the instant application (a copy of which is attached hereto). Applicants submitted an Assignment for recordation that was executed by all eight inventors (a copy of which is attached hereto).

By this Petition to Correct Inventorship and complete Declaration executed by all eight inventors concurrently filed herewith by facsimile, applicants will correct the inventorship in the patent to be issued to reflect the correct inventorship.

**Statement of Facts**

In response to a Notice to File Missing Parts dated October 22, 2001, in the instant application, applicants submitted on December 7, 2001, a signed Declaration that was apparently missing the final page of Declaration signed by Andreas Mathes. It should be emphasized that the "Additional Inventor(s) Supplemental Sheet" of the Declaration indicated "Page 1 of 3", "Page 2 of 3", however, the sheet "Page 3 of 3" listing Andreas Mathes was apparently not submitted, although the complete Declaration was presented to the eight inventors. Despite this discrepancy and an obviously incomplete Declaration, the Office never notified applicants of the missing page of the Declaration.

Due to the treatment of the mail to destroy anthrax, applicants received and responded to a Request for Substitute Papers on March 26, 2002, and submitted copies of the papers previously submitted (that is, also apparently missing the final page of Declaration signed by Andreas Mathes).

Rather than receive a Notice of Incomplete Reply to the Notice of Missing Parts (as would be expected with the absence of "Page 3 of 3" Additional Inventor(s) Supplemental Sheet in the Declaration submission), the Office apparently incorrectly amended the inventorship to drop Andreas Mathes from the list of inventors. This was not intended by the eight applicants, all of whom executed the Declaration.

Since all the eight applicants did in fact execute the proper Declaration (the last page of which was apparently not submitted to the Office), it is readily apparent that there was no deceptive intention on their part and it is not considered necessary under these facts to submit a declaration executed by the applicants (although one will be submitted if requested by the Office) affirming that they executed in October 2001 the Declaration that is herewith submitted, since the Declaration itself testifies to that fact.

The undersigned, who submitted the incomplete Declaration to the Office on December 7, 2001, and March 26, 2002, herewith affirms that such incomplete submission was done without deceptive intention. This absence of deceptive intention is further supported by (1) the Application Data Sheet filed with the application listing all eight inventors, (2) the obviousness of a missing "Page 3 of 3" in the submitted Declaration that reveals it is incomplete, and (3) the Assignment filed with the U.S.P.T.O. listing all eight inventors.

Applicant herewith encloses the complete five page Declaration, including the previously unsubmitted last page signed by Andreas Mathes. Please ensure Andreas Mathes and, indeed, all eight inventors are listed on the issued patent. His information is as follows:

Given Name:	Andreas
Family Name:	Mathes
Postal Address Line One:	Am Sporfeld 2
City:	Ockenheim
State or Province:	Germany
Postal or Zip Code:	55437
Citizenship Country:	DE

The correct inventorship for all eight inventors is found in the Application Data Sheet filed with the original application.

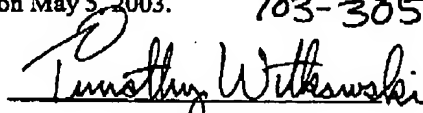
**Fee**

The fee for this Petition is \$130.00 under 37 C.F.R. § 1.17(h) or 37 C.F.R. § 1.17(i). The Commissioner is hereby authorized to charge this and any other fee required for this Petition or any other paper accompanying this Petition to Deposit Account No. 02-2955. Applicants also request a refund of the paid issue fee if such refund is authorized, with the funds to be credited to the above noted Deposit Account.

Please advise me immediately if you require anything further.

**Certificate of Facsimile Transmission  
Under 37 C.F.R. § 1.8(a)**

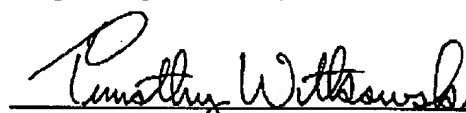
I hereby certify that this correspondence is being transmitted by facsimile to the U.S. Patent and Trademark Office at Fax No. ~~(703) 305-6916~~ on May 5, 2003. **703-305-1013**

  
Timothy X. Witkowski  
Registration No. 40,232

5-5-2003

Dated

Respectfully submitted,

  
Timothy X. Witkowski  
Registration No. 40,232  
Attorney for Applicants

BOEHRINGER INGELHEIM CORPORATION  
Patent Department  
900 Ridgebury Road  
P.O. Box 368  
Ridgefield, CT 06877  
Telephone: (203) 798-4310  
Facsimile: (203) 798-4408

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**Applicants: Rolf Banholzer *et al.*

Examiner: Janet L. Coppins

Serial No.: 09/961,822

Group Art Unit: 1625

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THE PREPARATION THEREOF, AND PHARMACEUTICAL COMPOSITIONS

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P.O. Box 1450  
Alexandria, VA 22313-1450

**COMMUNICATION ESTABLISHING RIGHT OF ASSIGNEE**  
**TO TAKE ACTION UNDER 37 C.F.R. § 3.73(b)**

Dear Sir:

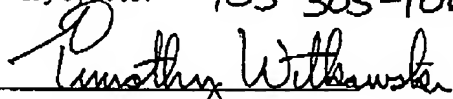
In connection with the attached Petition, applicants herewith establish the right of the assignee under 37 C.F.R. § 3.73(b) to take action in the above application.

Boehringer Ingelheim Pharma KG is the Assignee of Record of the entire right, title and interest in and to the above-identified application as set forth in the attached Assignment. The Assignment was submitted for recordation in the U.S. Patent and Trademark Office on December 7, 2001, and again on March 26, 2002, in response to a Request for Substitute Papers. Applicants have not yet received a recordation notice from the Office. The Assignment was executed by all eight inventors, including Andreas Mathes, who was incorrectly dropped from the list of inventors by the Office..

The undersigned is authorized to act on behalf of the assignee.

**Certificate of Facsimile Transmission  
Under 37 C.F.R. § 1.8(a)**

I hereby certify that this correspondence is  
being transmitted by facsimile to the U.S. Patent  
and Trademark Office at Fax No. ~~(703) 308-~~  
~~6916~~ on May 5, 2003. 703-305-1013

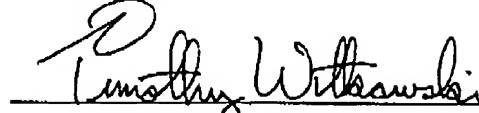


Timothy X. Witkowski  
Registration No. 40,232

5-5-2003

Dated

Respectfully submitted,



Timothy X. Witkowski  
Registration No. 40,232  
Attorney for Applicants

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900 Ridgebury Road  
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Telephone: (203) 798-4310  
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PTO/SB/01 (12-97)

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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**☐ Declaration Submitted with Initial Filing  
OR  
☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number 1/1148

First Named Inventor Rolf Banholzer

**COMPLETE IF KNOWN**

Application Number 09 / 961,822

Filing Date September 24, 2001

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**CRYSTALLINE TIOTROPIUM BROMIDE MONOHYDRATE, PROCESSES FOR THE PREPARATION THEREOF, AND PHARMACEUTICAL COMPOSITIONS**

the specification of which (Title of the invention)

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 09/24/2001 as United States Application Number or PCT International

Application Number 09/961,822 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
100 50 621.6	DE	10/12/2000	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.
60/249,349	11/16/2000	

(Page 1 of 2)

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/01 (12-97)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**DECLARATION — Utility or Design Patent Application**

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☐ Customer Number  OR

☒ Registered practitioner(s) name/registration number listed below

Place Customer Number Bar Code Label here

Name	Registration Number	Name	Registration Number
Robert P. Raymond	25,089	Susan K. Pocchiarl	45,016
Alan R. Stempel	28,991	Philip I. Datlow	41,482
Mary-Ellen M. Devlin	27,928	Timothy X. Witkowski	40,232
Anthony P. Bottino	41,629		

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☐ Customer Number or Bar Code Label  OR ☐ Correspondence address below

Name					
Address					
Address					
City		State		ZIP	
Country		Telephone		Fax	

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle if any)		Family Name or Surname			
Rolf		BANHOLZER			
Inventor's Signature	<i>Rolf Banholzer</i>			Date	10-23-04
Residence: City	Stuttgart	State		Country	Germany
Post Office Address	Pfullinger Strasse 55				
Post Office Address					
City	Stuttgart	State		ZIP	70597
				Country	Germany

☒ Additional inventors are being named on the 3 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

Please type a plus sign (+) inside this box → ☐

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DECLARATION				ADDITIONAL INVENTOR(S) Supplemental Sheet Page <u>1</u> of <u>3</u>			
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Peter				SIEGER			
Inventor's Signature	<i>Peter Sieger</i>			Date	Oct. 26, 2001		
Residence: City	Mittelbiberach	State		Country	Germany	Citizenship	DE
Post Office Address	Wielandstrasse 27						
Post Office Address							
City	Mittelbiberach	State		ZIP	88441	Country	Germany
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Christian				KULINNA			
Inventor's Signature	<i>Christian Kulinna</i>			Date	Oct. 24, 2001		
Residence: City	Mainz	State		Country	Germany	Citizenship	DE
Post Office Address	Eduard-Frank-Strasse 11						
Post Office Address							
City	Mainz	State		ZIP	55122	Country	Germany
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Michael				TRUNK			
Inventor's Signature	<i>Michael Trunk</i>			Date	Oct. 23, 2001		
Residence: City	Ingelheim	State		Country	Germany	Citizenship	DE
Post Office Address	Wackemheimer Strasse 17						
Post Office Address							
City	Ingelheim	State		ZIP	55218	Country	Germany

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Case No. 1/1148



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<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S) Supplemental Sheet Page <u>2</u> of <u>3</u></b>
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<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Manfred				GRAULICH			
Inventor's Signature	<i>Manfred Graulich</i>					Date	Oct 23, 2001
Residence: City	Waldalgesheim	State		Country	Germany	Citizenship	DE
Post Office Address	Ringstrasse 32						
Post Office Address							
City	Waldalgesheim	State		ZIP	55425	Country	Germany
<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Peter				SPECHT			
Inventor's Signature	<i>Peter Specht</i>					Date	Oct 23, 2001
Residence: City	Ober-Hörsheim	State		Country	Germany	Citizenship	DE
Post Office Address	Neuwiese 9						
Post Office Address							
City	Ober-Hörsheim	State		ZIP	55437	Country	DE
<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Helmut				MEISSNER			
Inventor's Signature	<i>Helmut Meissner</i>					Date	Oct 23, 2001
Residence: City	Ingelheim	State		Country	Germany	Citizenship	DE
Post Office Address	Hallgartenerstrasse 9						
Post Office Address							
City	Ingelheim	State		ZIP	55218	Country	Germany

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Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S)</b> Supplemental Sheet Page <u>3</u> of <u>3</u>
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname			
Andreas				MATHES			
Inventor's Signature	<i>Andreas Mathes</i>					Date	<i>Oct. 23, 2001</i>
Residence: City	Ockenheim	State		Country	Germany	Citizenship	DE
Post Office Address	Am Sportfeld 2						
Post Office Address							
City	Ockenheim	State		ZIP	55437	Country	Germany
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname			
Inventor's Signature						Date	
Residence: City		State		Country		Citizenship	
Post Office Address							
Post Office Address							
City		State		ZIP		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname			
Inventor's Signature						Date	
Residence: City		State		Country		Citizenship	
Post Office Address							
Post Office Address							
City		State		ZIP		Country	

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